

Public Record Office Victoria

SPECIFICATION

PROS 19/05 S1: DIGITISATION

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About this Specification

This Specification sets out the requirements which must be met when Victorian public offices plan to digitise original source records and use the digitised copy as the official record.

It must be used in conjunction with the Retention and Disposal Authority (RDA) for Converted or Digitised Records. This RDA authorises destruction of some original source records, if particular conditions are met.

All Victorian public offices must comply with this Specification when digitising records to use as the official record.

The diagram below shows the relationship between this Specification and related documents.

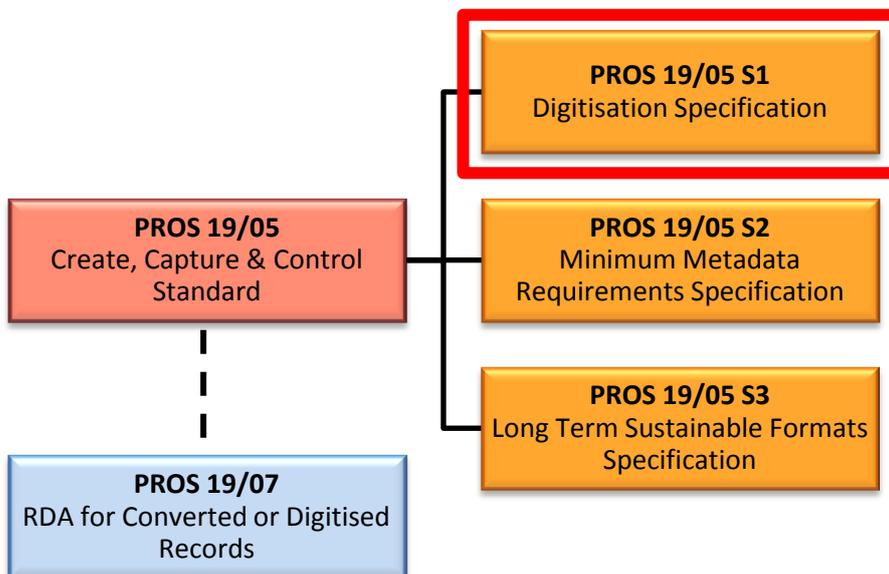


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1 Introduction

1.1 Authority of Standards and Specifications

Under section 12 of the *Public Records Act 1973*, the Keeper of Public Records ('the Keeper') is responsible for the establishment of Standards for the efficient management of public records and for assisting Victorian public offices to apply those Standards to records under their control.

Heads of public offices are responsible under section 13b of the *Public Records Act 1973* for carrying out a program of efficient management of public records. The program of records management needs to cover all records created by the public office, in all formats, media and systems across the organisation.

The Standards and Specifications support the Victorian Electronic Record Strategy (VERS) Digital Forever 2018-2021¹, which is designed to ensure the creation, capture and preservation of authentic, complete and meaningful digital records.

This Specification is part of the *PROS19/05 Create, Capture and Control Standard*. This Specification, as varied or amended from time to time, shall have effect for a period of ten (10) years from the date of issue unless revoked prior to that date.

1.2 Obligation

It is mandatory for all Victorian public offices to follow the principles and comply with the requirements of the Standards and Specifications issued by the Keeper.

1.3 Applying this Specification

This Specification sets out the minimum requirements which must be met in order for public offices to digitise records and treat the digitised copy as the official record.

This Specification must be used in conjunction with the RDA for Converted or Digitised Records, which authorises the destruction of some original source records, if particular conditions are met.

This specification does not apply retrospectively. For records which were digitised to meet the requirements of the now superseded specifications, Public Record Office Victoria (PROV) will not require public offices to re-digitise records to the new requirements.

¹ The previous *PROS15/03 Standard for the encapsulation of digital records* has been revoked and the requirements have now been included in the *PROS19/05 Create, Capture and Control Standard* and associated Specifications.

2 Using Digitised Records as the Official Records

2.1 Create a Digitisation Plan

Public offices must prepare a Digitisation Plan when the digitised copy will be used as the official record².

Section 3 of this Specification details the content which must be included in the Digitisation Plan.

2.2 Image Requirements

Public offices must meet technical image requirements when the digitised copy will be used as the official record.

Section 4 of this Specification details the minimum technical requirements for digitising different types of original source records³, in cases where the digitised image will be used as the official record.

If the records are of permanent value, the digitised copy being treated as the official record must be transferred to PROV as a VERS Encapsulated Object (VEO) at the appropriate time.

This means they must meet the requirements of:

- PROS 19/05 S2 *for Minimum Metadata Requirements Specification*
- PROS 19/05 S3 *for Long Term Sustainable Formats Specification*.

2.3 Destruction of Original Source Records

If intending to destroy original source records, public offices must first check that this is lawful under the the RDA for Converted or Digitised Records. It is highly recommended that public offices perform this check at an early stage in their planning, prior to creation of a Digitisation Plan.

Public offices cannot destroy the original source records UNLESS the requirements of the RDA are met.

In some cases, the public office will want to destroy the original source records soon after digitisation, once all of the quality control requirements have been met.

In other cases, the public office may choose to keep the unofficial original source records for a period of time, as a reference copy. In this case, as the digitised copy is now the official record, the original source record should not be added to or be in active use.

² The official record is the record used by and relied upon by a public office to conduct its business, with other copies being considered reference or working copies

³ The original source record is the one which is being converted to another format i.e. through digitisation

Table 1: Summary table of requirements.

DIGITISED RECORD USE	REQUIREMENTS
When digitised records are used as official records	<ul style="list-style-type: none"> • If planning to destroy the original source record, ensure this is permitted by the <i>RDA for Converted or Digitised Records</i> • Digitisation Plan must be prepared, in accordance with requirements set out in Section 3 • Image requirements set out in Section 4 must be met • The digitised official record must be retained for as long as required under the RDA that is specific to that function • If the record is of permanent value, the digitised official record must be transferred to PROV as a VEO (VERS Encapsulated Object), at the appropriate time.
When digitised records are used as unofficial records (i.e. kept as a reference copy)	<ul style="list-style-type: none"> • Meeting the requirements of this Specification is optional, but highly recommended • The digitised unofficial copy cannot be added to or amended • The digitised unofficial copy can be destroyed when no longer required by the public office.

3 Digitisation Plan

Public offices must prepare a Digitisation Plan when the digitised copy will be used as the official record.

This is particularly critical when the original source records will be destroyed, at some point, in accordance with the RDA for Converted or Digitised Records.

3.1 Creating a New or Separate Digitisation Plan

Public offices which already have a Digitisation Plan in place for a set of records only need to create a new or separate Digitisation Plan when:

- the digitisation process, technology or tools, or way the records are going to be managed significantly change; or
- the existing Digitisation Plan expires.

Original source records which can be disposed of under different classes in applicable functional RDAs do not necessarily require separate Digitisation Plans. For example, incoming correspondence will be covered by different RDA classes and have different minimum retention periods.

Some examples of when separate digitisation plans might be needed include:

- when planning to undertake some digitisation onsite and other digitisation will be undertaken by a commercial provider
- when planning to digitise incoming correspondence and have a separate project to digitise an existing set of records
- when the formats are different and therefore the outputs will be different (for instance volumes compared with maps and plans)
- when planning to digitise an existing records backlog and believe it will be more practical to prepare a Digitisation Plan for the permanent records and a separate Digitisation Plan for the temporary records.

3.2 Digitisation Plan Authorisation

All Digitisation Plans must be approved by the Head of a public office or a suitable delegate (such as the Chief Information Officer, Section/Senior Manager etc.) by completing a Certificate of Compliance, available from the PROV website.

Once completed, an electronic copy of the Certificate of Compliance must be provided to PROV. A copy of the corresponding Digitisation Plan is not required, but must be made available on request.

3.3 Content of the Digitisation Plan

Public offices are strongly encouraged to use the Digitisation Plan Template available from the PROV website. This is not mandatory but provides practical guidance and can be adapted by public offices to accommodate individual needs. Additional information can also be included to meet your organisational needs.

Table 2: Information required in the Digitisation Plan.

CATEGORY	REQUIREMENTS
Authorisation, ownership, duration and review	<ul style="list-style-type: none"> Who approved the plan and the date it was approved The business owner of the plan Review and expiration dates Supporting business documentation (where appropriate)
Source or original records to be digitised	<p>Description of the records – this could include:</p> <ul style="list-style-type: none"> title of the collection of records (not individual titles) section creating the records or responsible for the records purpose of the records and how they were used format(s) and condition of the records date range how the records are arranged, including any associated number ranges
Authorisation under RDA for Converted or Digitised Records (as required)	<ul style="list-style-type: none"> The relevant disposal class or classes that allow for destruction of the original or source records
Risk Analysis	<ul style="list-style-type: none"> Identify any risks associated with digitising the records and how to treat or minimise the risk
Digitisation process and technology	<ul style="list-style-type: none"> Whether the digitisation will be a one-off or an ongoing activity If digitisation occurring in-house, the business unit performing the digitisation If external arrangement, the name of the company performing the digitisation and verification that there is an agreement in place which specifies that the records are to be processed by the outsourced organisation What software/hardware will be used and configurations where appropriate Describe how the original source records will be tracked throughout the digitisation process Describe how the original source records will be assembled and physically prepared for digitisation and handled during scanning Metadata which will be collected about each digitised record (refer to PROS 19/05 S2 Minimum Metadata Requirements Specification), how it will be captured and associated with the digitised records Any modifications (e.g. cropping, spot removal etc.) that needs to occur to correct the image quality of the digitised record

CATEGORY	REQUIREMENTS
	<ul style="list-style-type: none"> • Quality control process – the types of checks to be performed at each stage of the digitisation process and how often the checking is to occur. A description of how records will be reprocessed in cases where the digitisation is not adequate • Output format of the digitised records • Note: if the records are permanent, the output format must comply with PROS 19/05 S3 Long Term Sustainable Formats Specification
Management of the digitised records	<ul style="list-style-type: none"> • Describe the systems the digitised records will be held in • The classes and minimum retention periods which will apply to the digitised records under the RDA applying to the function • Any security and access controls applied to the digitised records and the storage, back-up, restoration and testing measures in place • For permanent records, the measures to ensure the records can be transferred to PROV as VEOs
Management of the original source records	<ul style="list-style-type: none"> • The system/s and arrangements for managing the original source records until their disposal • Arrangements for secure destruction of the records, where appropriate

4 Image Requirements

4.1 Digital Image Technical Requirements

Minimum technical requirements for digitising different types of hardcopy source records, in cases where the digitised image will be used as the official record, are outlined below.

Public offices may choose to digitise images to higher technical standards if desired.

Public offices may choose to use these requirements when the digitised image will act as an unofficial copy for reference purposes.

Table 3: Minimum technical requirements for digitising.

TYPE OF ORIGINAL SOURCE RECORDS		REQUIREMENTS
Text Documents (including those which contain images)	Clean, high contrast documents with text or graphics for which colour is either not present or not essential, and any images are line art. Can include maps and plans.	<ul style="list-style-type: none"> Resolution: 200 dpi Type of image: bi-tonal Bit-depth: 1 bits Colour management: not applicable Lossless compression (lossy compression is acceptable if this is the only representation available from the digitisation device)
	Documents where colour is present and must be retained to preserve the meaning of the record or documents with low contrast (e.g. faded text, coloured background etc.)	<ul style="list-style-type: none"> Resolution: 200 dpi Type of image: colour Bit-depth: 24 bits Colour management: embedded ICC profile Lossless compression (lossy compression is acceptable if this is the only representation available from the digitisation device)
Photographs	Black and white	<ul style="list-style-type: none"> Resolution: 600 dpi Type of image: greyscale Bit-depth: 8 bits Colour management: embedded ICC profile Lossless compression (lossy compression is acceptable if this is the only representation available from the digitisation device)
	Colour	<ul style="list-style-type: none"> Resolution: 600 dpi Type of image: colour Bit-depth: 24 bits Colour management: embedded ICC profile Lossless compression (lossy compression is acceptable if this is the only representation available from the digitisation device)

TYPE OF ORIGINAL SOURCE RECORDS		REQUIREMENTS
		if this is the only representation available from the digitisation device)
Negatives	Black and white	<ul style="list-style-type: none"> Resolution: 2400 dpi Type of image: greyscale Bit-depth: 24 bits Colour management: embedded ICC profile Lossless compression (lossy compression is acceptable if this is the only representation available from the digitisation device)
	Colour	<ul style="list-style-type: none"> Resolution: 2400 dpi Type of image: colour Bit-depth: 24 bits Colour management: embedded ICC profile Lossless compression (lossy compression is acceptable if this is the only representation available from the digitisation device)

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